

**AGENDA ITEM 3b  
STATUS OF INTERNAL AUDIT PROJECTS  
AS OF SEPTEMBER 30, 2011**

Item	Description	Status
<b>Internal Audit, Consulting and Follow-up Projects</b>		
1	Analysis of basic financial statement preparation process (FY 2010-11)	Complete
2	Business continuity management (FY 2010-11)	Complete
3	HIPAA compliance for health care – business associates (FY 2010-11)	Complete
4	Health plan eligibility – Safety Officer Survivor Program (FY 2010-11)	Complete
5	Investment internal control framework – Global Equity (FY 2009-10)	Complete
6	Securities lending program (FY 2010-11)	Complete
7	Audit follow-up and resolution	Complete
1	Contracts within Investment Office (FY 2010-11)	In Progress - Draft
2	Credit enhancement program (FY 2010-11)	In Progress - Draft
3	Organization of Information Security (FY 2010-11)	In Progress - Draft
4	Review of Long Term Care Program oversight – appeals (FY 2010-11)	In Progress - Draft
5	Review of third-party administrator of Long-Term Care Program (FY 2009-10)	In Progress - Draft
6	State Street client specific review	In Progress - Draft
7	Third-party services (FY 2010-11)	In Progress - Draft
8	Compliance function (FY 2010-11)	In Progress - Draft
9	Accounting Action Plan	In Progress
10	Alternative investment management external partner review (FY 2010-11)	In Progress
11	Administrative accounting	In Progress
12	Appeals and grievances	In Progress
13	Bond Task Force on Pension Disclosures	In Progress
14	Configuration and change management	In Progress
15	Coordinate contract real estate compliance audits	In Progress

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Item	Description	Status
16	Coordination of annual CalPERS financial statements	In Progress
17	Coordination of management letter from external auditor related to the financial statement audit	In Progress
18	Coordination of RFP for financial statement auditor	In Progress
19	Coordination of RFP for Specialty Investment Audit Services Spring-Fed Pool	In Progress
20	Enterprise transition management	In Progress
21	Financial Integrity & State Managers Accountability (SAM 20060)	In Progress
22	Financial ratio analysis of HMOs and PPOs contracting with CalPERS	In Progress
23	Financial Reporting Committee	In Progress
24	Fraud risk assessment	In Progress
25	Implementation and transition to the new audit resolution procedures	In Progress
26	Management consulting projects <ul style="list-style-type: none"> <li>• Committee Charter analysis – Complete</li> <li>• Contract review – Complete</li> <li>• Fiscal Services Division Benefit Revolving Fund process – Complete</li> <li>• Business intelligence scenario – In Progress</li> <li>• Contract clause standardization workgroup – In Progress</li> <li>• Form 1099 review – In Progress</li> <li>• PSR workaround – In Progress</li> <li>• Public Records Act requests – In Progress</li> </ul>	In Progress
27	Monitor and resolve real estate audit findings	In Progress
28	Pension System Resumption Project (PSR)	In Progress
29	Physical and environment security	In Progress
30	Placement agent	In Progress
31	Protection against malicious code	In Progress
32	PSR benefits estimates and payments	In Progress
33	Real estate compliance audits	In Progress

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Item	Description	Status
34	Review HMO performance and contract compliance (CCPOA)	In Progress
35	Review of analysis of CalPERS financial statements	In Progress